

Small Professional Services Firm (SPSF)

Program Guidelines

March 7, 2008

Policy Statement

The North Carolina Department of Transportation (Department) is committed to the Small Professional Services Firm (SPSF) Program.

It is the policy of the Department to ensure non-discrimination on the basis of race, color, national origin, or gender in the award and performance of any contract, and shall take all reasonable and necessary steps to ensure non-discrimination in the administration of the SPSF program. It is the intent of the Department to create an equitable environment in which small professional services firms can compete fairly for contracts financed with Federal and State funds. Non-compliance may result in the termination of the contract or other actions as deemed appropriate.

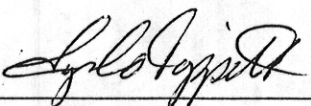
The effective management of this program requires the cooperation of several units within the Department. Specifically, the Unified Certification Program (UCP) Unit, the Business and Contractual Management Section of the Construction Unit, and other branches and units within the Department as represented by the Chief Deputy Secretary of Transportation, who has been delegated the authority and responsibility for development, implementation, and management of the SPSF Program. Notwithstanding this delegation, it is my expectation that all personnel shall adhere to the intent, as well as the provisions and procedures of the SPSF program.

A copy of this program document containing the approved policy and guidelines is available at <http://www.nc.dot.org.business/ocs/spsf/> for review by any interested individuals.

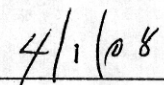
Questions or requests for additional information regarding the SPSF program should be directed to Theresa Canales PE, State Business Management Engineer at (919) 733-2210 or Odessa McGlown, State Contractor Management Engineer at (919) 733-7174.

Unified Certification Program Unit
1 South Wilmington Street
Raleigh, North Carolina 27611

Construction Unit
Business and Contractual Management
1 South Wilmington Street
Raleigh, North Carolina 27611



Lyndo Tippet
Secretary



Date



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Purpose

The SPSF Program was developed to provide consultant opportunities for firms that meet the eligibility criteria to compete against other consultant firms that are comparably positioned in their industries. The Department of Transportation is committed to providing contractual opportunities to qualified firms and believes that the total quality of a professional or specialized services team is enhanced by the inclusion of qualified subconsultants.

Small businesses determined to be eligible for participation in the SPSF program are those meeting size standards defined by Small Business Administration (SBA) regulations, 13 CFR Part 121 under the North American Industrial Classification System (NAICS). The specific annual gross receipts total will vary depending on the type of business and/or the type of services rendered. Applicants need to verify the appropriate maximum gross receipts for their type of business.

The SPSF program is a race, ethnicity, and gender neutral program designed to increase the availability of contracting opportunities for small businesses on federal, state or locally funded contracts. SPSF participation is not contingent upon the funding source.

Nondiscrimination

- a) The Department does not exclude any person from participation in, deny any person the benefits of, or otherwise discriminate against anyone in connection with the award and performance of any contract covered by this program on the basis of race, color, sex, national origin, or disability.
- b) The Department does not, directly or through contractual or other arrangements, use criteria or methods of administration that have the effect of defeating or substantially impairing accomplishment of the objectives of the program with respect to individuals of a particular race, color, sex, national origin or disability.

Eligibility

Any business that is established for profit and meets the certification standards outlined herewith is eligible to participate in the North Carolina Department of Transportation's SPSF Program.

Certification Standards

In determining whether to certify a firm as a SPSF, the following standards must be applied:

- a) *Size*. A SPSF must be a "small" business as defined by the Small Business Administration (SBA), 13 CFR Part 121 in Sector 54, to be eligible for participation in the Department of Transportation's SPSF (SPSF) certification program. The SBA determines size by a firm's gross receipts or number of employees.

The applicant must select the NAICS code(s) for the firm's industry and verify the firm's average *receipts* for the three previous tax years or average number of *employees* for each pay period over the company's last twelve months before submitting the application form.

Receipts means "total income" (or in the case of a sole proprietorship, "gross income") plus "cost of goods sold" as these terms are defined and reported on Internal Revenue Service tax

return forms. The term does not include net capital gains or losses; taxes collected for and remitted to a taxing authority if included in gross or total income, such as sales or other taxes collected from customers and excluding taxes levied on the concern or its employees; proceeds from transactions between a concern and its domestic or foreign affiliates; and amounts collected for another by a travel agent, real estate agent, advertising agent, conference management service provider, freight forwarder or customs broker. For size determination purposes, the only exclusions from receipts are those specifically provided for in this paragraph. All other items, such as subcontractor costs, reimbursements for purchases a contractor makes at a customer's request, and employee-based costs such as payroll taxes, may not be excluded from receipts.

Receipts are averaged over the firm's latest three (3) completed fiscal years to determine its average annual receipts. If a firm has not been in business for three (3) years, the average weekly revenue for the number of weeks the firm has been in business is multiplied by 52 to determine its average annual receipts.

Employees mean the number of employees of a concern based on its average number of persons employed for each pay period over the concern's latest 12 months. Any person on the payroll must be included as one employee regardless of hours worked or temporary status. That is, it is a "head count." The number of employees of a concern in business under 12 months is based on the average for each pay period it has been in business.

- b) *Independence.* The firm must be independent as indicated by the absence of control or influence of a non-qualifying firm.
- c) *Integrity.* The Department may consider, in making certification decisions, whether a firm has exhibited a pattern of conduct indicating its involvement in attempts to evade or subvert the intent or requirements of the SPSF program. Examples include, but are not limited to:
 - A firm, that would otherwise be deemed ineligible, establishes independent progeny firms for the distinct purpose of meeting the size requirement and participating in the SPSF Program.
 - A subconsultant SPSF that is selected to fulfill the participation expectation with the intent to sublet the work to another SPSF-qualified or non-qualified firm.
 - A firm that consistently submits letters of interest and is awarded contracts but does not own or have independent access to resources necessary to perform the work.
- d) *Existing For-Profit Business.*
 - 1. The firm must be a bona fide existing business that performs work for the purpose of making a profit. Existing assumes that the firm is currently operational and is no longer in the concept stage of development.
 - 2. The Department must not refuse to certify a firm solely on the basis that it is a newly formed firm.
 - 3. Not-for-profit organizations are not eligible to be certified as SPSFs.

- e) *Cooperation.* SPSF firms and firms seeking SPSF certification shall cooperate fully with the Department's requests for information relevant to the certification process. Failure or refusal to provide such information is a ground for a denial or removal of certification.
- f) *Other.*
 - 1. A SPSF is not bound by ethnicity, race or gender requirements. The SPSF program is a race and gender neutral program.
 - 2. Participation credit cannot be counted unless the firm is both prequalified to perform the proposed work and certified as a SPSF at the time a letter of interest is submitted for the proposed work.
 - 3. Prequalification is an independent process that evaluates a consulting firm's staffing, experience, equipment, bonding, and financial resources generally required to perform successfully on a project. For help with the consultant prequalification process, contact the Business and Contractual Management Section of the Construction Unit at (919) 733-2210.
 - 4. Firms that are found ineligible for participation, or have otherwise been prohibited from participation, may reapply for certification after the disqualifying condition ceases to exist. The Department must evaluate the eligibility of a firm on the basis of present circumstances, and must not refuse to certify a firm based solely on historical information if the firm currently meets the standards of this part.
 - 5. Individuals who are citizens or lawfully admitted permanent residents of the United States must control the firm's management and daily business operations.
 - 6. A firm certified as a Disadvantaged Business Enterprise (DBE), Minority Business Enterprise (MBE), and/or Women's Business Enterprise (WBE) automatically qualifies as an SPSF and does not need to obtain further SPSF certification. If a firm believes it meets the eligibility criteria for DBE/MBE/WBE and wishes to apply for certification the owner should contact the UCP Unit at (919) 733-7174 for a DBE certification application.

Application Process

- a) Applications for the SPSF Program may be obtained from the UCP Unit, the Business and Contractual Management Section, or from the website address:
<http://www.ncdot.org/business/OCS>
- b) Do not leave any questions blank. Please answer all questions on the application and forward your completed application to NCDOT. Applications may be returned to any of the administrative partners described herein or mailed to the following address:

NC Department of Transportation
Unified Certification Program Unit
1509 Mail Service Center
Raleigh, NC 27699-1509

- c) Applications must be completed in their entirety, signed and notarized. Incomplete applications will not be accepted, and will be returned to the applicant. An incomplete

application is one in which the basic identifying information, the NAICS code, or tax ID is not provided. If the application is not accepted, a letter explaining why the application was unacceptable will be forwarded to the applicant.

- d) The requirement for notarization will not support the acceptance of applications through electronic media, unless the form has been converted and submitted in .pdf format. Applications will be accepted via facsimile if the notary seal is ink-stamped rather than embossed.
- e) If the firm meets the eligibility requirements, the Department will prepare the “Approval of Small Professional Services Firm Certification” letter. The date of certification will be set based on the date signatures are validated by the notary.

Maintaining Certification

- a) Each year on the anniversary of the original certification, the SPSF is required to submit a new application that declares the business continues to meet the certification standards of this program. On or about the 335th day after initial certification is granted, a new application packet will be forwarded to the SPSF.
- b) The Department will wait 30 days for a response from the SPSF.
 - If 30 days have elapsed and the documentation *has not* been received, the Department will notify the SPSF of the firm’s decertification that was effective on the anniversary date.
 - If the appropriate documentation is received prior to the anniversary date, the Department will review the information to determine if the firm meets the eligibility standards.
 - If the firm does not meet eligibility standards for the application year, the firm’s certification will be removed on the original anniversary date. The Department will prepare a “Denial” or “Decertification” notification. The letter will outline procedures. The firm’s status will be updated to reflect the “not certified” status.
 - If the firm meets the eligibility requirements, the Department will prepare the “Approval of Small Professional Services Firm Certification” letter. The date of certification will be reset based on the date the signatures are validated by the notary.
- c) Firms that are found ineligible for participation, or have otherwise been prohibited from participation, may reapply for certification after the disqualifying condition ceases to exist.
- d) In the case where a firm is decertified for failure to cooperate because the requested forms were not submitted in a timely manner, the firm may reapply for certification at their discretion.

Decertification

The purpose of the decertification process is to provide NCDOT a standardized process for decertifying a firm certified through the UCP Unit as a SPSF. Reasons for decertification include but are not limited to exceeding the gross receipt limit, failing to cooperate with the Department’s request for information relevant to the certification process, attempting to evade or subvert the intent of the SPSF program, or other reasons as identified herein. A decertification

proceeding can also commence as a result of a directive from the Chief Deputy Secretary (or designee) who is administering the program.

In order for the firm to be accorded proper due process during the decertification process, timely notifications will be distributed by the UCP Unit. The UCP unit will prepare a “Decertification” Letter informing the firm of the decertification decision. The letter will outline the Department’s decision, the reason for the decision, and appeal rights and procedures.

- a) If the firm is able to provide suitable documentation to dispute the claim referenced in the Decertification letter, the firm’s status will be reinstated to reflect “certified”.
- b) If the firm is unable to provide documentation to dispute the claim referenced in the Decertification letter, the decertified status will remain unchanged.

In the case where the firm has exceeded the limit set by SBA requirements for its industry, and documentation is available to substantiate the excess, the firm’s status as a SPSF is rebutted. The firm cannot appeal the decision to decertify.

A firm’s loss of prequalification does not directly impact the SPSF certification. However, prequalification is necessary for a firm’s participation on a project awarded by the Department.

Third Party Complaint Procedures

The purpose of the third-party complaint investigation process is to provide the Department a standardized process for investigating complaints relative to a firm’s eligibility for participation in the program.

The identity of complainants shall be kept confidential, at their election. If such confidentiality will hinder the investigation, proceeding or hearing, or result in a denial of appropriate administrative due process to other parties, the complainant must be advised for the purpose of waiving the privilege. Complainants are advised that, in some circumstances, failure to waive the privilege may result in the closure of the investigation or dismissal of the proceeding or hearing.

1. The receipt of a notarized “SPSF Eligibility Complaint Form” initiates a third-party complaint. The form may be downloaded from <http://www.ncdot.org/business/OCS> or requested from a program partner. The form cannot be accepted without proper notarization.
2.
 - a. An “Acknowledgement of Receipt of Third-Party Complaint” letter is generated and sent to the complainant. The letter will acknowledge receipt of the complaint form, and inform the complainant of the investigation process and the estimated time to complete the investigation.
 - b. The UCP Unit will generate a “Notice of Investigation” letter and send it to the firm against whom the complaint is alleged. The letter will inform the firm of the investigation process, the estimated time to complete the investigation, and the firm’s status during the investigation period.
3. The UCP Unit shall review documentation currently on file to identify factual information regarding the firm. The UCP Unit will determine what additional documentation, if any, is required to continue the investigation. The additional documentation will be requested in writing.

4. The UCP Unit will wait 30 days for documentation to be received. If after 30 days the documentation has *not* been received, the UCP Unit will generate a second request for the documentation. After the letter is mailed, the UCP Unit will wait an additional fifteen days for the documentation to be received.
 - a. If the documentation is not received after the additional fifteen-day period, the UCP Unit will continue the investigation using the information currently on file.
 - b. If the documentation is received within the initial thirty-day or the additional fifteen-day period, the UCP Unit will review the additional documentation.
5. After reviewing the documentation, the UCP Unit will determine if a site visit is necessary and if the necessary site visit should be scheduled or impromptu. If a site visit is necessary, the UCP Unit may schedule the site visit and inform the firm of any additional documentation that should be available during the visit.
6. After a thorough review of documentation and/or the site visit, the investigator will make a recommendation to the UCP Unit manager.
 - a. If it is recommended that the firm maintain its current certification status, a letter will be generated and mailed to the firm, and a letter will be generated and mailed to the complainant. The letters will state the results of the investigation, but will not detail the findings or divulge information deemed confidential by the party against whom the complaint is filed.
 - b. If it is determined that the firm is not eligible for continued participation in the SPSF program, the UCP Unit will remove the firm's certification and generate the appropriate notification to the firm. An "Investigation Closed " letter will be generated and mailed to the complainant. The letter will state the results of the investigation, but will not detail the findings or divulge information deemed confidential by the party against whom the complaint is filed.
7. A firm may appeal its de-certification in the same manner as an applicant who has been denied certification.
8. Third party complaint forms should be sent to the UCP Unit at the 1509 Mail Service Center, Raleigh, NC 27699-1509, ATTN: SPSF.

Denial/Decertification Appeals

The appeal process is to provide the Department a standardized method for reviewing certification decisions that negatively impact the applicant or participant. The Appeal Hearing is an informal proceeding designed to provide the applicant or participant an objective opportunity to respond to the reasons for the denial of the firm's certification or the firm's decertification, and provide information and arguments to support their position.

1. The appeal process may be initiated by the applicant/participant upon receipt of a denial or decertification letter generated by the Department. The denial or decertification letters will explain to the applicant why the applicant was denied or decertified, provide appeal procedures, and a timeline to appeal.

2. The applicant or firm must inform the Department *in writing* of the intent to appeal the certification decision within thirty (30) days from the date of the denial or decertification letter.
3. When the intent to appeal is received, the Department must give the firm an opportunity for an informal hearing, at which the firm may respond to the decertification or denial in person and provide information and arguments concerning why it should remain or be certified.
 - In such a proceeding, the UCP Unit bears the burden of proving, by a preponderance of the evidence, that the firm does not meet the certification standards of this part.
 - The Department must maintain a complete record of the hearing, by any means acceptable under state law for the retention of a verbatim record of an administrative hearing. If there is an appeal to the Chief Deputy Secretary, the UCP Unit must provide a copy of the transcript of the hearing, and retain the original record of the hearing. The Department may charge the firm only for the cost of copying the record.
 - The firm may elect to present information and arguments in writing, without going to a hearing. In such a situation, the UCP Unit bears the same burden of proving, by a preponderance of the evidence, that the firm does not meet the certification standards, as would be done during a hearing.
4. The UCP Unit shall appoint a hearing panel that will consist of a Chairperson, one representative from the Division of Highways, and one additional member with knowledge of the certification process and eligibility standards. The person who originally denied the application cannot be a member of the panel.
5. The UCP Unit representative shall contact the applicant to schedule a hearing. The hearing is conducted at a mutually agreed upon time and place of the applicant and the panel.
6. The hearing information is reviewed and a decision to uphold or overturn the original determination is rendered.
 - If the panel decides to uphold the original determination, a “Decision Upheld” letter is generated and forwarded to the applicant.
 - If the panel decides to overturn the original determination, an approval letter is generated and the applicant’s status is changed to reflect the certification decision.
7. If the hearing panel upholds the original determination, the applicant may make an administrative appeal to the Chief Deputy Secretary within ten (10) working days. Pending the decision of the Chief Deputy Secretary, the decision of the hearing panel is administratively final and remains in effect.
8. The Chief Deputy Secretary may appoint a committee to review the appeal. The Chief Deputy Secretary maintains final authority in cases where a committee has been appointed to recommend action.
9. The Chief Deputy Secretary makes a decision based solely on the entire administrative record. The Chief Deputy Secretary does not make a de novo review of the matter and does not conduct a hearing. The Chief Deputy Secretary may supplement the administrative record by adding relevant information made available by Federal, state, or local law enforcement

authorities; officials of a NCDOT operating administration or other appropriate DOT office; or a firm or other private party. Any supplementary information considered will be made available to the firm and any third-party complainant involved, consistent with Federal or applicable state laws concerning freedom of information and privacy.

10. The Chief Deputy Secretary can only uphold the UCP's decision based on grounds and information specified in the original decision.
11. The Chief Deputy Secretary's decision is based on the status and circumstances of the firm as of the date of the decision being appealed.
12. The Chief Deputy Secretary's decision is final and is not subject to petitions for reconsideration.
13. Intent to Appeal notices should be sent to the Department of Transportation at 1509 Mail Service Center, Raleigh, NC 27699-1509, ATTN: UCP Unit.

Compliance and Enforcement

- a) Any person who believes the North Carolina Department of Transportation has failed to comply with its obligations under these guidelines may file a written complaint with the Secretary of the Department. If any person wants to file a complaint, they must do so no later than 90 days after the date of the alleged violation or the date on which they learned of a continuing course of conduct in violation of these guidelines. In response to the written request, the Secretary may extend the time for filing, specifying in writing the reason for so doing. The Secretary may protect the confidentiality of the person's identity as provided above. Complaints under this part are limited to allegations of violation of the provisions of this part.
- b) As the partner primarily responsible for program compliance, the Department may review other program partners' compliance with these guidelines at any time, including reviews of paperwork and site work, as appropriate.

Cooperation

All participants in the Department's SPSF program (including, but not limited to SPSF firms and applicants for SPSF certification, complainants and appellants) are required to cooperate fully and promptly with the Department in compliance reviews, certification reviews, investigations, and other requests for information. Failure to do so shall be grounds for appropriate action against the party involved.

If the firm is certified as a SPSF, it must inform the UCP Unit in writing of any change in circumstances affecting its ability to meet size, independence, profitability status, or any other requirements of this program or any material change in the information provided in its application form.

The firm must provide written notification within 30 days of the occurrence of the change. If the firm fails to make timely notification of such a change, it will be deemed to have failed to cooperate.

Directory

In accordance with the provisions of this program, the Department shall maintain and make available to interested persons a directory identifying all firms that are eligible to participate as a SPSF. This directory shall contain, at a minimum, the firm's name, address, phone number, and the types of work the firm is qualified to perform as a SPSF. The on-line directory will support real-time revisions and access, and will be made available to the public electronically, on the internet, and in print, by request.

The SPSF is responsible for ensuring the information provided in the Directory is accurate. For changes to the information displayed on the Directory, the firm must submit an *Information Change Request Form* to the UCP Unit. Firms that submit requests for changes to the firm or owner's federal tax identification number, must submit such change on the Department's *Substitute W-9* form.

The UCP Unit will maintain the information contained in the directory and implement the appropriate measures to ensure the integrity of the data is preserved.

Administrative Partners

The following units share oversight of the SPSF Program and agree to adhere to the following roles.

The UCP Unit will:

- Maintain the original documentation provided by the firm in an orderly fashion and on easily accessed media, and make this information available to the other administrative partners upon request;
- Enter the firm's information in the Directory and make periodic updates as necessary to ensure the most accurate information is made available to users;
- Monitor participation by the firms to ensure their compliance with the certification standards;
- Provide administrative support to ensure firms are reminded of critical activities that affect their participation in the program, i.e., renewals, reapplication, etc.;
- Work with appropriate areas within the Department, and Business and Contractual Management Section to investigate complaints received from other Units or third parties regarding the eligibility of firms to participate in the SPSF program;
- Perform random audits of firms to ensure compliance with the program's size standards, and
- Ensure SPSF firms are provided due process when Departmental actions result in denial or removal of certification

Within the Department, the Chief Deputy Secretary will:

- Provide policy level decisions with regard to the SPSF program's administration;
- Receive and review appeals pursuant to guidelines established by this program; and
- Work with UCP Unit to investigate complaints received from other Units or third parties regarding the eligibility of firms to participate in the SPSF program.

Within the Division of Highways, the Business and Contractual Management Section of the Construction Unit will:

- Prequalify firms in accordance with departmental policy and ensure accurate prequalification data is made available to the UCP Unit;

- Maintain updated applications and forms for distribution to interested applicants. Applicants may be directed to the website or provided with contact information for UCP Unit;
- Accept completed applications and forward to UCP Unit for data entry and subsequent record maintenance. Applicants may send their applications directly to UCP Unit; and
- Work with UCP Unit to investigate complaints received from other Units or third parties regarding the eligibility of firms to participate in the SPSF program.

Send Completed form to:
 Unified Certification Program
 1509 Mail Service Center
 Raleigh, NC 27699-1509

For Official Use Only
 Vendor # _____

**North Carolina Unified Certification Program
 Small Professional Services Firm (SPSF)
 Contractor's Self-Certification**

1	Firm's Name			
2	Type of Business Entity	<input type="checkbox"/> Individual (use SSN) <input type="checkbox"/> Sole Proprietor (use SSN or Fed ID#)	<input type="checkbox"/> Partnership (use Fed ID#) <input type="checkbox"/> Corporation (use Fed ID#) <input type="checkbox"/> Estate/Trust (use Fed ID#)	
3	Social Security No. or Federal Tax ID# <i>(Enter one based on your firm's business entity)</i>	_____ - _____ - _____ (Social Security #) or _____ - _____ (Federal Tax ID)		
4	Owners' Information <i>(Gender and Ethnicity information is not eligibility criteria and is gathered for reporting purposes only.)</i>	Name Owner 1: _____ % Ownership: _____ Gender: _____ Ethnicity: <input type="checkbox"/> Asian/Pacific American <input type="checkbox"/> African American <input type="checkbox"/> Caucasian American <input type="checkbox"/> Hispanic American <input type="checkbox"/> Native American <input type="checkbox"/> Subcontinent Asian American	Name Owner 2: _____ % Ownership: _____ Gender: _____ Ethnicity: <input type="checkbox"/> Asian/Pacific American <input type="checkbox"/> African American <input type="checkbox"/> Caucasian American <input type="checkbox"/> Hispanic American <input type="checkbox"/> Native American <input type="checkbox"/> Subcontinent Asian American	
5	Contact Information <i>(You must include area codes)</i>	Business Phone: _____ Home Phone: _____ Fax number: _____ Cell Phone: _____ Pager: _____ Email: _____		
6	Address Information <i>(You must include street, city, state, and zip code)</i>	Physical Address:		Mailing Address:
7	Financial Information	Previous Tax Year _____ Receipts: \$ _____	Year 2: _____ Receipts: \$ _____	Year 3: _____ Receipts: \$ _____

Small businesses, as defined by the Small Business Administration in 13 CFR Part 121 in Sector 54, are eligible for participation in the Department of Transportation's Small Professional Services Firm (SPSF) certification program. Information submitted is subject to verification by NCDOT. False statements could result in criminal penalties being imposed, including but not limited to the above firm being barred from doing business with NCDOT.

I hereby certify that the business listed above meets the criteria for the SPSF program.

COUNTY OF _____	
I _____, A Notary Public for said County, do hereby certify that	
_____ personally appeared before me this day and acknowledged the due execution	
of the foregoing instrument. Witness my hand and official seal, this ____ day of _____ 20____.	
_____ (Signature)	} Seal: _____ (Notary Public)
_____ (Title)	My commission expires _____ 20____.

The North Carolina Department of Transportation uses Small Business Administration (SBA) size standards to determine whether a business entity is small and, thus, eligible for participation in the SPEF program. Size standards have been established for Professional, Scientific, and Technical Services under the North American Industry Classification System (NAICS). The size standards are expressed either in number of employees or annual receipts in millions of dollars, and indicates the maximum allowed for a business and its affiliates to be considered small.

Please select the NAICS code for your industry by placing a check in the box . Verify your firm’s average receipts for the three previous tax years before submitting this form. *Receipts* means “total income” (or in the case of a sole proprietorship, “gross income”) plus “cost of goods sold” as these terms are defined and reported on Internal Revenue Service tax return forms.

NAICS Code	NAICS U.S. Industry Title Sector 54 —Professional, Scientific and Technical Services	Size Standards (in millions of dollars)	Size Standards (in number of employees)
541110	Offices of Lawyers	6.5	
541191	Title Abstract and Settlement Offices	6.5	
541199	All Other Legal Services	6.5	
541211	Offices of Certified Public Accountants	7.5	
541213	Tax Preparation Services	6.5	
541214	Payroll Services	7.5	
541219	Other Accounting Services	7.5	
541310	Architectural Services	4.5	
541320	Landscape Architectural Services	6.5	
541330	Engineering Services	4.5	
541340	Drafting Services	6.5	
541350	Building Inspection Services	6.5	
541360	Geophysical Surveying and Mapping Services	4.5	
541370	Surveying and Mapping (except Geophysical) Services	4.5	
541380	Testing Laboratories	11.0	
541410	Interior Design Services	6.5	
541420	Industrial Design Services	6.5	
541430	Graphic Design Services	6.5	
541490	Other Specialized Design Services	6.5	
541511	Custom Computer Programming Services	23.0	
541512	Computer Systems Design Services	23.0	
541513	Computer Facilities Management Services	23.0	
541519	Other Computer Related Services	23.0	
541611	Administrative Management and General Management Consulting Services	6.5	
541612	Human Resources Consulting Services	6.5	
541613	Marketing Consulting Services	6.5	
541614	Process, Physical Distribution, and Logistics Consulting Services	6.5	
541618	Other Management Consulting Services	6.5	
541620	Environmental Consulting Services	6.5	
541690	Other Scientific and Technical Consulting Services	6.0	
541710	Research and Development in the Physical, Engineering, and Life Sciences		500
541720	Research and Development in the Social Sciences and Humanities	6.5	
541810	Advertising Agencies	6.5	
541820	Public Relations Agencies	6.5	
541830	Media Buying Agencies	6.5	
541840	Media Representatives	6.5	
541850	Display Advertising	6.5	
541860	Direct Mail Advertising	6.5	
541870	Advertising Material Distribution Services	6.5	
541890	Other Services Related to Advertising	6.5	
541910	Marketing Research and Public Opinion Polling	6.5	
541921	Photography Studios, Portrait	6.5	
541922	Commercial Photography	6.5	
541930	Translation and Interpretation Services	6.5	
541940	Veterinary Services	6.5	
541990	All Other Professional, Scientific, and Technical Services	6.5	



STATE OF NORTH CAROLINA
Small Professional Services Firm Program
SPSF Eligibility Complaint Form

Send completed form to: Unified Certification Program Unit
ATTN: SPSF
1509 Mail Service Center
Raleigh, NC 27699-1509

I have reason to believe that _____ (*enter name of firm*) does not meet the eligibility standards for a Small Professional Services Firm. I believe this firm is ineligible for the following reasons:

I understand that I must have this form notarized before submitting it to your office and that my confidentiality will be maintained, unless otherwise required to be disclosed by law, until the end of the forthcoming investigation of this complaint.

Signature

Date

NOTE - AFFIDAVIT MUST BE NOTARIZED

COUNTY OF _____

I _____, A Notary Public for said County, do hereby certify that
_____ personally appeared before me this day and acknowledged the due execution
of the foregoing instrument. Witness my hand and official seal, this ____ day of _____ 20 ____.

(Signature)

} Seal: _____
(Notary Public)

(Title)

My commission expires _____ 20 ____.



North Carolina Unified Certification Program
Information Change Request

Return completed form to:
NC Dept of Transportation
Unified Certification Program
1509 Mail Service Center
Raleigh, NC 27699-1509
Or
fax to (919) 715-7378

This form is used to update information that is contained in the source database and displayed on the Contractor Directory. The firm's owner must approve all changes.

1.	Name of Firm		
2.	Contact Information (Please include area codes)	Business Phone: _____ Home Phone: _____ Fax Number: _____ Cell Phone: _____ Pager: _____ Email: _____	
		CURRENT INFORMATION	CHANGE TO:
3.	Contact Name		
4.	Type of Business Entity	<input type="checkbox"/> Individual <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Partnership <input type="checkbox"/> Corporation <input type="checkbox"/> Estate/Trust Other: _____	<input type="checkbox"/> Individual <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Partnership <input type="checkbox"/> Corporation <input type="checkbox"/> Estate/Trust <input type="checkbox"/> Other: _____ <input type="checkbox"/>
5.	Federal Tax ID (or SSN)		
6.	Mailing Address of Firm		
7.	Street Address (if different from above)		
8.	NCDOT Work Codes	_____ _____ _____	_____ _____ _____
9.	NAICS Codes	_____ _____ _____	_____ _____ _____

I declare under penalty of perjury that the information provided on this form is true and correct.

Signature of majority owner _____ Date (mm/dd/yy) _____

SUBSTITUTE FORM W-9

VENDOR REGISTRATION FORM
NORTH CAROLINA DEPARTMENT OF TRANSPORTATION

Pursuant to Internal Revenue Service (IRS) Regulations, vendors must furnish their Taxpayer Identification Number (TIN) to the State. If this number is not provided, you may be subject to a 20% withholding on each payment. To avoid this 20% withholding and to insure that accurate tax information is reported to the Internal Revenue Service and the State, please use this form to provide the requested information exactly as it appears on file with the IRS.

INDIVIDUAL AND SOLE PROPRIETOR: ENTER NAME AS SHOWN ON SOCIAL SECURITY CARD
CORPORATION OR PARTNERSHIP : ENTER YOUR LEGAL BUSINESS NAME

NAME: _____

MAILING ADDRESS: STREET/PO BOX: _____

CITY, STATE, ZIP: _____

DBA / TRADE NAME (IF APPLICABLE): _____

BUSINESS DESIGNATION: ☐ INDIVIDUAL (use Social Security No.) ☐ SOLE PROPRIETER (use SS No. or Fed ID No.)
☐ CORPORATION (use Federal ID No.) ☐ PARTNERSHIP (use Federal ID No.)
☐ ESTATE/TRUST (use Federal ID no.) ☐ STATE OR LOCAL GOVT. (use Federal ID No.)
☐ OTHER / SPECIFY _____

SOCIAL SECURITY NO. _____ - _____ - _____ (Social Security #)

OR

FED.EMPLOYER IDENTIFICATION NO. _____ - _____ - _____ (Employer Identification #)

COMPLETE THIS SECTION IF PAYMENTS ARE MADE TO AN ADDRESS OTHER THAN THE ONE LISTED ABOVE:

REMIT TO ADDRESS: STREET / PO BOX: _____

CITY, STATE, ZIP: _____

Participation in this section is voluntary. You are not required to complete this section to become a registered vendor. The information below will in no way affect the vendor registration process and its sole purpose is to collect statistical data on those vendors doing business with NCDOT. If you choose to participate, circle the answer that best fits your firm's group definition.

What is your firm's ethnicity? ☐ Prefer Not To Answer, ☐ African American, ☐ Native American, ☐ Caucasian American, ☐ Asian American,
☐ Hispanic American, ☐ Asian-Indian American, ☐ Other: _____)

What is your firm's gender? ☐ Prefer Not to Answer, ☐ Male, ☐ Female) **Disabled-Owned Business?** ☐ Prefer Not to Answer, ☐ Yes, ☐ No)

IRS Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification and

I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the IRS that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and

3. I am a U.S. person (including a U.S. resident alien).

The IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholding. For complete certification instructions please see IRS FORM W-9 at <http://www.irs.gov/pub/irs-pdf/fw9.pdf>.

NAME (Print or Type) _____

TITLE (Print or Type) _____

SIGNATURE _____

DATE _____

PHONE NUMBER _____

To avoid payment delays, completed forms should be returned promptly to:

*Unified Certification Program**1509 Mail Service Center**Raleigh, North Carolina 27699-1509*

PHONE (919) 733-7174 FAX (919) 715-7378

**NORTH CAROLINA DEPARTMENT OF TRANSPORTATION
PRIME CONSULTANT
TO BE USED WITH PROFESSIONAL SERVICES CONTRACT ONLY
RACE AND GENDER NEUTRAL**

TIP No. and/or Type of Work (Limited Services)

(Consultant/Firm Name and Federal Tax Id)

SERVICE / ITEM DESCRIPTION		Anticipated Utilization
	TOTAL UTILIZATION:	
	RECOMMENDED BY: CONSULTANT:	
	*BY:	
	TITLE: <input type="text"/>	
	SPSF Status:	Yes <input type="checkbox"/> No <input type="checkbox"/>

"PRIME CONSULTANT" (FORM RS-2)
RACE AND GENDER NEUTRAL

Instructions for completing the Form RS-2:

1. Complete a Prime Consultant Form RS-2 for the prime consultant firm.
2. Insert TIP Number and /or Type of Work (Limited Services)
3. Complete the Consultant/Firm name and Federal Tax ID Number for the primary firm information.
4. Enter Service/Item Description – describe work to be performed by the Prime Firm
5. Enter Anticipated Utilization – Insert dollar value or percent of work to the Prime Firm
6. *Signature of the Prime Consultant **is required** on each RS-2 Form to be submitted with the Letter of Interest (LOI) to be considered for selection
7. Complete “SPSF Status” section - Check the appropriate box regarding SPSF Status, check Yes if SPSF or No if not SPSF

**NORTH CAROLINA DEPARTMENT OF TRANSPORTATION
SUBCONSULTANT
TO BE USED WITH PROFESSIONAL SERVICES CONTRACT ONLY
RACE AND GENDER NEUTRAL**

TIP No. and/or Type of Work (Limited Services)

(Consultant/Firm Name and Federal Tax Id)

(Subconsultant/Firm Name and Federal Tax Id)

SERVICE / ITEM DESCRIPTION		Anticipated Utilization
	TOTAL UTILIZATION:	
SUBMITTED BY: SUBCONSULTANT:	RECOMMENDED BY: CONSULTANT:	
*BY:	*BY:	
TITLE:	TITLE:	<input type="text"/>
SPSF Status: Yes <input type="checkbox"/> No <input type="checkbox"/>		

“SUBCONSULTANT” (FORM RS-2)
RACE AND GENDER NEUTRAL

Instructions for completing the Form RS-2:

1. Complete a Subconsultant Form RS-2 for each Subconsultant firm to be utilized by your firm.
2. Insert TIP Number and /or Type of Work (Limited Services)
3. Complete the Consultant/Firm name and Federal Tax ID Number for the primary firm information.
4. Complete the Subconsultant/Sub Firm name and Federal Tax ID Number for the sub firm information.
5. Enter Service/Item Description – describe work to be performed by the Sub Firm
6. Enter Anticipated Utilization – Insert dollar value or percent of work to the Subconsultant/Sub Firm
7. *Signatures of both Subconsultant and Prime Consultant **are required** on each RS-2 Form to be submitted with the Letter of Interest (LOI) to be considered for selection
8. Complete “SPSF Status” section - Subconsultant shall check the appropriate box regarding SPSP Status, check Yes if SPSP or No if not SPSP

In the event the firm has **no** subconsultant, it is required that this be indicated on the Subconsultant Form RS-2 form by entering the word “None” or the number “ZERO” and signing the form.

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